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*Maureen Golob*  
Maureen Golob

**HOWREY SIMON ARNOLD & WHITE, LLP**  
**301 Ravenswood Avenue**  
**Box No. 34**  
**Menlo Park, CA 94025**  
**(650) 463-8100**

P#16

FORM PTO-1083

In re application of: **WANG, et al.**

Attorney Docket No. 13403.0004.NPUS00

U.S. Serial No.: **09/921,144**

Filed: **August 1, 2001**

For: **COMPOSITIONS AND METHODS FOR GENERATING CHIMERIC HETEROMULTIMERS**

COMMISSIONER FOR PATENTS  
P.O. Box 1450  
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Transmitted herewith are the following:

**JUL 18 2003**

1. PTO Form 1083 transmittal;
2. Supplemental Information Disclosure Statement;
3. Check in the amount of \$180.00;
4. Return receipt postcard.

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xx The U.S. Patent and Trademark Office is further authorized to charge any fee deficiency or credit any overpayment to Deposit Account No. 08-3038 referencing Attorney Docket No. **13403.0004.NPUS00**.

Date: **July 10, 2003**

*[Signature]*  
Robin C. Chiang (Reg. No. 46,619) for  
Karen K. Wong (Reg. No. 44,409)  
Glenn W. Rhodes (Reg. No. 31,790)

**HOWREY SIMON ARNOLD & WHITE, LLP**  
**Box 34**  
**301 Ravenswood Avenue**  
**Menlo Park, CA 94025**  
**(650) 463-8100**

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*Maureen Golob*  
Maureen Golob



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

WANG, *et al.*

Serial No. 09/921,144

Filed: August 1, 2001

For: **COMPOSITIONS AND METHODS  
FOR GENERATING CHIMERIC  
HETEROMULTIMERS**

Art Unit: 1642

Examiner: Helms, L.R.

Atty. Docket: 13403.0004.NPUS00

Confirmation No. 6422

**Supplemental Information Disclosure Statement**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith. It is further understood that the Examiner will consider information that had been cited by or submitted to the U.S. Patent and Trademark Office in a prior application relied on under 35 U.S.C. § 120. 1138 OG 37, 38 (May 19, 1992).

Applicants have checked the appropriate boxes below.

- ☐ 1. This Information Disclosure Statement is being filed within three months of the U.S. filing date OR before the mailing date of a first Office Action on the merits. No statement under 37 C.F.R. § 1.97(e) or fee is required, or
- ☒ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance, or action that otherwise closes prosecution in the application, and
- ☐ a. I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1), or
- ☐ b. I hereby state that no item of information in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2), or
- ☒ c. Attached is our check in the amount of \$180.00 in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but on or before payment of the Issue Fee. Attached is our Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(i), and
- ☐ a. I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three

months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1), or

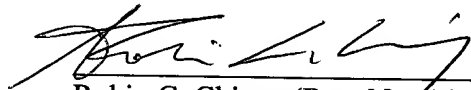
- ☐ b. I hereby state that no item of information in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ 4. Relevance of the non-English language document(s) is discussed in the present specification.
- ☐ 5. The document(s) was/were cited in a corresponding foreign application. An English language version of the foreign search report is attached for the Examiner's information.
- ☐ 6. A concise explanation of the relevance of the non-English language document(s) appears below:
- ☐ 7. The Examiner's attention is directed to co-pending U.S. Patent Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is directed to related technical subject matter. The identification of this U.S. Patent Application is not to be construed as a waiver of secrecy as to that application now or upon issuance of the present application as a patent. The Examiner is respectfully requested to consider the cited application and the art cited therein during examination.
- ☐ 8. Copies of the documents were cited by or submitted to the Office in Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and to indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. **08-3038** referencing docket number **13403.0004.NPUS00**.

Respectfully submitted,

Date: July 10, 2003

  
\_\_\_\_\_  
Robin C. Chiang (Reg. No. 46,619) for  
Karen K. Wong (Reg. No. 444,409)  
Glenn W. Rhodes (Reg. No. 31,790)

HOWREY SIMON ARNOLD & WHITE, LLP  
301 Ravenswood Avenue  
Box No. 34  
Menlo Park, CA 94025  
(650) 463-8172

Form PTO-1449 (modified)		Atty. Docket No. 13403.0004.NPUS00	Serial No. 09/921,144
List of Patents and Publications for Applicant's  INFORMATION DISCLOSURE STATEMENT  (Use several sheets if necessary)		Applicants: WANG, et al.,	
		Title: COMPOSITIONS AND METHODS FOR GENERATING CHIMERIC HETEROMULTIMERS	
		Filing Date: August 1, 2001	Group: 1642
U.S. Patent Documents <i>See Page 1</i>	Foreign Patent Documents <i>See Page 1</i>	Other Art <i>See Page 1</i>	

### U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date of App.

### Foreign Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No

### Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
	183.	Arndt, et al., (2001) "Helix-stabilized Fv (hsFv) Antibody Fragments: Substituting the Constant Domains of a Fab Fragment for a Heterodimeric Coiled-coil Domain," <i>J. Mol. Biol.</i> , 312:221-228

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EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)